P21228.P01	**UTILITY PATENT APPLICATION TRANSMITTAL** (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	P21228	Total Pages	

Inventor(s) or Application Identifier
Nobuaki KOBAYASHI and Ken FUJII

Title: DIGITAL RECORDING AND REPRODUCING APPARATUS

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form
   (Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
   See 37 CFR 1.27.
   a. ☐ Small Entity Statement(s)

3. ☒ Specification [Total Pages ___33___]
   (preferred arrangement set forth below)
   - Descriptive title of the Invention
   - Cross References to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to sequence listing, a table, or a computer program listing appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings (if filed)
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113)   [Total Sheets ___6___]

5. ☒ Oath or Declaration   [Total Pages ___3___]
   a. ☒ Newly executed (original or copy)   ☐ Unexecuted
   b. ☐ Copy from a prior application (37 CFR 1.63(d))
      (for continuation/divisional with Box 20 completed)
      [Note Box 6 below]
      i. ☐ DELETION OF INVENTOR(S)
         Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Incorporation By Reference (useable if Box 5b is checked)
   The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

7. ☐ Application Data Sheet. See 37 CFR 1.76

8. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program *(Appendix)*

ACCOMPANYING APPLICATION PARTS

9. Nucleotide and/or Amino Acid Sequence Submission
   (if applicable, all necessary)
   a. ☐ Computer Readable Form (CRF)
   b. Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☐ paper
   c. ☐ Statements verifying identity of above copies

10. ☒ Assignment Papers (cover sheet & document(s))

11. ☐ 37 CFR 3.73(b) Statement   ☐ Power of Attorney
    (when there is an assignee)

12. ☐ English Translation Document (if applicable)

13. ☐ Information Disclosure Statement (IDS)/PTO-1449   ☐ Copies of IDS Citations

14. ☒ Preliminary Amendment

15. ☒ Return Receipt Postcard (MPEP 503)
    (Should be specifically itemized)

16. ☒ Figure of Drawing to be published ___1___

17. ☒ Foreign priority claimed
    a. ☒ Claim of Priority
    b. ☐ Certified Copy of Priority Document(s)

18. ☒ Assignee: TDK CORPORATION of Tokyo, JAPAN

19. ☐ Other: _____
    _____
    _____
    _____
    _____
    _____
    _____

20. **If a CONTINUING APPLICATION,** check appropriate box and supply the requisite information:
    ☐ Continuation   ☐ Divisional   ☐ Continuation-in-part (CIP)   of prior Application No. _____/_____, filed _____.
    Prior application information: Examiner: _____   *Group Art Unit:* _____

21. ☐ Amend the specification by inserting before the first line the sentence:
    This application is a ___ continuation-in-part, ___ continuation, ___ divisional, of Application No. _____/_____, filed _____.

Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM & BERNSTEIN, P.L.C.
1941 Roland Clarke Place
Reston, VA 20191
(703) 716-1191

7/24/01
Date

Signature   Reg 16
33,329

Bruce H. Bernstein, Reg No. 29,027
Typed or Printed Name

FEE TRANSMITTAL

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	N. KOBAYASHI et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned

TOTAL AMOUNT OF PAYMENT	($)750.00	Attorney Docket Number	P21228

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089

Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:
   ☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION (fees effective 12/29/99)

1. FILING FEE

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) ($) 710

2. CLAIMS

		Extra		Fee from below		Fee Paid
Total Claims	16	-20=	0	x	18 =	0
Independent Claims	1	-3=	0	x	80 =	0
Multiple Dependent Claims				x	=	0

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 0.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR Prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within 1st month	
116	390	216	195	Extension for response within 2nd month	
117	890	217	445	Extension for response within 3rd month	
118	1,390	218	695	Extension for response within 4th month	
128	1,890	228	945	Extension for response within 5th month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,240	241	620	Petition to revive unintentionally abandoned application	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of IDS	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) ($) 40

*Reduced by Basic Filing Fee paid

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Bruce H. Bernstein	Reg. Number	29,027
Signature	Leslie Papernes Reg No. 33,329	Date 7/24/01	Deposit Account User ID